

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicant: Vali Tadayon, et al : Paper No:  
Serial No. 09/944,663 : Group Art Unit:  
Filed: August 31, 2001 : Examiner:  
For: ACTIVE FILE SYSTEM

RECEIVED

AUG 12 2004

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

THE ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. §§1.97 and 1.98, Applicants herewith submit certain references which the Patent & Trademark Office may wish to consider in examining the above-identified application. With the exception of the Statement of Development of the Invention (the first reference listed under "Other References", all of the references and information were provided in the Information Disclosure Statements (IDS) previously filed for application 09/421,808 on the following dates: October 20, 1999, January 11, 2001, and October 11, 2001. References may be traced to the appropriate IDS by the color and font used to illustrate the reference. Green, capitalized references were submitted in an IDS dated October 20, 1999. Blue, plain font references were submitted in an IDS dated January 11, 2001. Red, italicized references were from the supplemental IDS filed on October 11, 2001. A copy of each original IDS is attached. The listed references are also listed on the attached Form PTO-1449. The regulation defined by 37 C.F.R. 1.98(d) permits the filing of references without copies, however, if an additional set of copies is desired by the Examiner, Applicant respectfully requests that Examiner contact Applicant and an additional set of copies will be produced and sent to the Examiner.

REFERENCES

5,812,862  
5,900,870  
6,230,185  
4,106,060  
4,503,499  
4,532,588  
4,558,413  
4,646,235

INVENTOR

Smith, et al  
Malone, et al  
Salas, et al  
Chapman, Jr.  
Mason, et al.  
Foster  
Schmidt, et al.  
Hirosawa, et al.

ISSUE DATE

September 22, 1998  
May 4, 1999  
May 8, 2001  
August 8, 1978  
March 5, 1985  
July 30, 1985  
December 10, 1985  
February 24, 1987

4,648,061	Foster	March 3, 1987
4,658,370	Erman, et al.	April 14, 1987
4,713,780	Schultz, et al.	December 15, 1987
4,713,837	Gordon	December 15, 1987
4,730,259	Gallant	March 8, 1988
4,734,931	Bourg, et al.	March 29, 1988
4,763,277	Ashford, et al.	August 9, 1988
4,768,144	Winter, et al.	August 30, 1988
4,805,207	McNutt, et al.	February 14, 1989
4,809,219	Ashford, et al.	February 28, 1989
4,827,418	Gerstenfeld	May 2, 1989
4,831,526	Luchs, et al.	May 16, 1989
4,837,798	Cohen, et al.	June 6, 1989
4,849,878	Roy	July 18, 1989
4,860,352	Laurance, et al.	August 22, 1989
4,866,634	Reboh, et al.	September 12, 1989
4,876,711	Curtin	October 24, 1989
4,879,648	Cochran, et al.	November 7, 1989
4,884,217	Skeirik, et al.	November 28, 1989
4,890,240	Loeb, et al.	December 26, 1989
4,891,766	Derr, et al.	January 2, 1990
4,899,136	Beard, et al.	February 6, 1990
4,902,881	Janku	February 20, 1990
4,912,648	Tyler	March 27, 1990
4,914,590	Loatman, et al.	April 3, 1990
4,918,588	Barrett, et al.	April 17, 1990
4,924,408	Highland	May 8, 1990
4,931,933	Chen, et al.	June 5, 1990
4,937,036	Beard, et al.	June 26, 1990
4,939,507	Beard, et al.	July 3, 1990
4,941,170	Herbst	July 10, 1990
4,949,278	Davies, et al.	August 14, 1990
5,040,141	Yazima, et al.	August 13, 1991
5,063,523	Vrenjak	November 5, 1991
5,103,498	Lanier, et al.	April 7, 1992
5,107,419	MacPhail	April 21, 1992
5,175,795	Tsuda, et al.	December 29, 1992
5,245,532	Mourier	September 14, 1993
5,283,856	Gross, et al.	February 1, 1994
5,317,725	Smith, et al.	May 31, 1994
5,377,354	Scannell, et al.	December 27, 1994
5,555,346	Gross, et al.	September 10, 1996
5,627,764	Schutzman, et al.	May 6, 1997
5,630,127	Moore, et al.	May 13, 1997
5,706,452	Ivanov	January 6, 1998
5,706,502	Foley, et al.	January 6, 1998
5,802,253	Gross, et al.	September 1, 1998
5,835,758	Nochur, et al.	November 10, 1998
5,848,271	Caruso, et al.	December 8, 1998
5,862,325	Reed, et al.	January 19, 1999

5,907,704	Gudmundson, et al.	May 25, 1999
5,917,489	Thurlow, et al.	June 29, 1999
5,999,978	Angal, et al.	December 7, 1999
6,006,215	Retallick	December 21, 1999
6,026,365	Hayashi	February 15, 2000
6,058,395	Buzaglo, et al.	May 2, 2000
6,073,142	Geiger, et al.	June 6, 2000
6,088,702	Plantz, et al.	July 11, 2000
6,088,717	Reed, et al.	July 11, 2000
6,101,500	Lau	August 8, 2000

### OTHER REFERENCES

Reference	Website Address (if applicable)	Publications or Visit Date
Statement of Development of the Invention	Attached	October 15, 2001
<b>IDS A</b>	<b>Attached</b>	<b>October 11, 2001</b>
<b>IDS B</b>	<b>Attached</b>	<b>January 11, 2001</b>
<b>IDS C</b>	<b>ATTACHED</b>	<b>October 20, 1999</b>
<b>Exhibit B to Dialog Search Report</b>		<b>10/15/00</b>
<b>Microsoft</b>		
Microsoft Exchange Server (3 pgs.)	<a href="http://microsoft.com/exchange/evaluation/features/default.asp">http://microsoft.com/exchange/evaluation/features/default.asp</a>	viewed on 9/25/01
Web Storage System Collaboration and Applications	<a href="http://www.microsoft.com/Seminar/1033/20000518ExchangeServerDS1/Exchange5_script.txt">http://www.microsoft.com/Seminar/1033/20000518ExchangeServerDS1/Exchange5_script.txt</a>	viewed on 8/23/01
Glossary: file system (1 pg.)	<a href="http://support.microsoft.com/support/glossary/F.asp">http://support.microsoft.com/support/glossary/F.asp</a>	viewed on 4/5/01
Microsoft Web Storage System; (1 pg.)	<a href="http://www.microsoft.com/exchange/productinfo/Webstorage.htm">http://www.microsoft.com/exchange/productinfo/Webstorage.htm</a>	viewed on 4/4/01
Workflow Designer for Exchange 2000 (1 pg)	<a href="http://www.microsoft.com/exchange/productinfo/workflowdesign.htm">http://www.microsoft.com/exchange/productinfo/workflowdesign.htm</a>	viewed on 4/4/01
<b>eMedicine</b>		
Home Page	<a href="http://www.emedicine.com">http://www.emedicine.com</a> (2 pgs.)	viewed on 9/25/01
eMedicine, Inc. Receives Patent for		October 2000

<i>internet Publishing Software; Information Today; Vol. 17, Issue 9</i>	<a href="http://www.infotoday.com/it/oct00/news14.htm">http://www.infotoday.com/it/oct00/news14.htm</a> (2 pgs.)	
<b>The Brain</b> (4 pgs.)	<a href="http://www.thebrain.com">http://www.thebrain.com</a> <a href="http://www.thebrain.com/products/personalbrain/default.html">http://www.thebrain.com/products/personalbrain/default.html</a>	viewed on 7/27/01; viewed on 5/14/01;
<b>A Focus+Content Technique Based on Hyperbolic Geometry for Visualizing Large Hierarchies</b> (13 pgs)	<a href="http://www.acm.org/sigchi/chi95/proceedings/papers/jl_bdy.htm">http://www.acm.org/sigchi/chi95/proceedings/papers/jl_bdy.htm</a>	viewed on 7/27/01
<b>WhatIs</b>  <i>B-tree</i> (2 pgs.)  <i>Web Server</i> (1 pg.)  <i>WebDAV</i> (2 pgs.)  <i>File Allocation Table (FAT)</i> (1 pg.)	<a href="http://searchdatabase.techtarget.com/sDefinition/0,,sid13_gci508442,00.html">http://searchdatabase.techtarget.com/sDefinition/0,,sid13_gci508442,00.html</a>  <a href="http://whatis.techtarget.com/definition/0,289893,sid9_gci213606,00.html">http://whatis.techtarget.com/definition/0,289893,sid9_gci213606,00.html</a>  <a href="http://whatis.techtarget.com/definition/0,289893,sid9_gci335020,00.html">http://whatis.techtarget.com/definition/0,289893,sid9_gci335020,00.html</a>  <a href="http://whatis.techtarget.com/definition/0,289893,sid9_gci213956,00.html">http://whatis.techtarget.com/definition/0,289893,sid9_gci213956,00.html</a>	Viewed on 7/19/01  viewed on 5/18/01  viewed on 4/5/01  viewed on 4/5/01
<b>Major Disk Structures and the Boot Process</b> (2 pgs)	<a href="http://www.pcguide.com/ref/hdd/file/struct-I.htm">http://www.pcguide.com/ref/hdd/file/struct-I.htm</a>	viewed on 7/18/01
<b>Hard Disk Logical Structures and File System</b> (18 pgs)	<a href="http://www.pcguide.com/ref/hdd/file/index-i.htm">http://www.pcguide.com/ref/hdd/file/index-i.htm</a>	viewed on 7/18/01
<b>NTFS</b>  <i>Files and Data Storage</i> (21 pgs)	<a href="http://www.pcguide.com/ref/hdd/file/ntfs/files-c.html">http://www.pcguide.com/ref/hdd/file/ntfs/files-c.html</a> and associated webpages	viewed on 7/18/01
<b>Scopeware™</b>	<a href="http://www.scopeware.com/products/products_whatIs.htm">http://www.scopeware.com/products/products_whatIs.htm</a>	viewed on 7/16/01
<b>Inxight Software - Star Tree Walk-Through Tour</b> (13 pgs)	<a href="http://www.inxight.com/demos/ht_walk_thru/index.html">http://www.inxight.com/demos/ht_walk_thru/index.html</a>	viewed on 7/16/01
<i>Types of databases</i> (9 pgs.)	<a href="http://clem.mscd.edu/~tuckerp/C/S13310/C1.html">http://clem.mscd.edu/~tuckerp/C/S13310/C1.html</a>	viewed on 5/21/01
<i>News Database</i> (9 pgs.)	<a href="http://www.infosys.tuwien.ac.at/NewsCache/doc/mstthesis/node36.html">http://www.infosys.tuwien.ac.at/NewsCache/doc/mstthesis/node36.html</a>	viewed on 5/21/01





<b>Technical Data Sheet</b>  <i>Understanding the Oracle8i™ Internet File System (iFS) Option (7 pgs)</i>		<i>February 1999</i>
<b>Server Access API Programmer's Guide Instinctive Technology (52 pgs.)</b>		<i>August 12, 1999</i>
<b>File Systems in Unix; Norman Matloff, Department of Computer Science, University of California at Davis (5 pgs)</b>	<a href="http://heather.cs.ucdavis.edu/~matloff/UnixAndC/Unix/FileSyst.html">http://heather.cs.ucdavis.edu/~matloff/UnixAndC/Unix/FileSyst.html</a>	<i>10/19/98</i>
<b>Government Computer News; Vol. 17, No. 5 (2 pgs.)</b>		<i>March 9, 1998</i>
<b>Bringing the File System into the File: Making Information More Accessible Through Object Stores, Simon St. Laurent: (8 pgs)</b>		<i>1998</i>
<b>REFLEX Active Database (5 pgs.)</b>	<a href="http://www.gre.ac.uk/~w.naqvi/reflex">http://www.gre.ac.uk/~w.naqvi/reflex</a>	<i>July 3, 1996</i>
<b>Polycenter Advanced File System and Utilities for Digital Unix: Guide to File System Administration &amp; associated pages (10 pgs)</b>	<a href="http://apache.ethz.ch/docu/AFA402/figures/admin-home.html">http://apache.ethz.ch/docu/AFA402/figures/admin-home.html</a>	<i>© 1996</i>
<b>WebShare™ Designer Application Guide (175 pgs.)</b>		<i>unknown</i>

Product Brochure entitled "BeyondMail Electronic Mail for Productive Workgroups," by Beyond Incorporated, consisting of cover page and 6 pages of information (undated). (Box A)

IntraBlocks Brochure - e:Folders; No date; 2 pp. (Box A)

Gold, E., "ETC: An AI Based Electronic Mailer," Research Notes, Computer Research Laboratory, Tektronix, Inc., P.O. Box 500, MS 50-662, Beaverton, OR 97077, Draft - June 28, 1985, pp. 1-15 plus 10 pages consisting of references, list of figures, and list of tables. (Box A)

Greif, I. and Sarin, S., "Data Sharing in Group Work," Massachusetts Institute of Technology, Laboratory for Computer Science, Oct. 1986, pp. 1-10. (Note: This paper was to have appeared in proceedings of Conference on Computer-Supported Cooperative Work, Dec. 3-5, 1986, Austin, Texas). (Box A)

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D., "Semistructured Messages are Surprisingly Useful for Computer-Supported Coordination," Research Contributions, ACM Transactions on Office Information Systems, Vol. 5, No. 2, Apr. 1987,

pp. 115-131. (Box A)

Malone, T.W.; Grant, K.R.; Turbak, F.A.; Brobst, S.A.; and Cohen, M.D., "Intelligent Information-Sharing Systems," Communications of the ACM, May 1987, Vol. 30, No. 5, pp. 390-402. (Box A)

Rosenburg, J., Everhart, C.F., and Borenstein, N.S., "An Overview of the Andrew Message System," Jul. 1987, Copyright 1988 ACM 0-89791-245-4/88/0001/0099, pp. 99-108. (Box A)

Lai, K.Y., Malone, T.W., and Yu, K.C., "Object Lens: A 'Spreadsheet' for Cooperative Work," ACM Transactions on Office Information Systems, 1988, pp.1-28 plus Figs. 1-11. (Box A)

Dutta, S. "An Event Based Fuzzy Temporal Logic" Copyright 1988 IEEE pp. 74-71. (Box A)

Arcidiacono, T. "Expert System On-Call", Copyright 1988, PC Tech Journal, Nov. 1988, pp. 112-135. (Box A)

Kottemann, et al, "Process-Oriented Model Integration," Proc. 21<sup>st</sup> Annual Hawaii Intl Conf. on System Sciences, 5-8 Jan. 1988, 396-402. (Box A)

Putz, S. "Babar: An Electronic Mail Database," Copyright 1988 Xerox Corporation, Palo Alto, California, Xerox Parc, SSL-88-1, Apr, 1988, pp. 1-17 with attached Babar User Guide, pp. 1-30. (Box A)

Pollock, S., "A Rule-Based Message Filtering System," ACM Transactions on Office Information Systems, Vol. 6, No. 3, Jul. 1988, pp. 232,254. (Box A)

Crowston, K. and Malone, T.W., "Intelligent Software Agents," Byte, Dec. 1988, pp. 267-271. (Box A)

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D.A. "The Information Lens: An Intelligent System for Information Sharing and Coordination,: Technological Support for Work Group Collaboration, M.H. Olson (Ed.), Hillsdale, NJ: Lawrence Erlbaum Associates, 1989, pp. 65-88. (Box A)

Overton, et al., "A Fuzzy Representation for Event Occurrence", SPIE Vol. 1198 Sensor Fusion II: Human and Machine Strategies, 1989, 472-479. (Box A)

MacKay, W.E.; Malone, T.W.; Crowston, K.; Rao, R.; Rosenblitt, D.; and Card, S.K., "How do Experienced Information Lens Users Use Rules?" Copyright 1989 ACM (Association for Computing Machinery), CHI'89 Proceedings, May 1989, pp. 211-216. (Box A)

Roberto, et al, "A Knowledge-Based System for Seismolocial Signal Understanding", 1989 Intl. Conf. on Acoustics, Speech and Signal Processing, 23-26 May 1989, M8.9. (Box A)

MacKay, W.E.; Gardner, B.R.; Mintz, T.H.; PITO, R.A.; and Siegal, J.B., "Argus Design Specification," Copyright 1989 Massachusetts Institute of Technology, Draft: 17 Oct. 1989, pp. 1-50. (Box A)



Press Releases, Newspaper and Magazine Articles, and Prepublication Research Notes relating to Beyond, Inc., and BeyondMail, dated between Oct. 17, 1989, and Sep. 24, 1991, individually listed and identified as items #1 through #33 on Cover Sheet Entitled 'Appendix A'. (Box A)

Fischer International Systems Corporation, "EMC(^2)TAO Electronic Mail Communication Center", Copyright 1990. (Box A)

D.A. Young, "The X Window System: Programming and Applications with Xt OSF/Motif® Edition", Prentice Hall (1990), pp. 1-13, 123-144. (Box A)

Lee, J. and Malone, T.W., "Partially Shared Views: A Scheme for Communicating Among Groups that use Different Type Hierachies," ACM Transactions on Information Systems, Vol. 8, No. 1, Jan. 1990, pp. 1-26. (Box A)

Perkins, W.A., "Adding Temporal Reasoning to Expert-System-Building Environments" Copyright 1990 IEEE Expert, Feb. 1990, pp. 23-30. (Box A)

Marshak, D.S., "Filters: Separating the Wheat from the Chaff," Patricia Seybold's Office Computing Report, Vol. 13, No. 11, Nov. 1990, pp. 1-8. (Box A)

Product Brochure entitled "BeyondMail Personal Productivity Tool," Beyond Incorporated, 2 pp. (Box A)

Ayre, R., "Evolving E-Mail: Will Client/Server get the Message?", PC Magazine, Sep. 10, 1991, p. 322(2). (Box A)

Fischer International System Corporation, "Workflow.2000 The Business Tool for EMC(^2)TAO", Copyright 1992. (Box A)

Fischer International Systems Corporation, "Workflow.2000 The Business Tool for Office Vision", Copyright 1992. (Box A)

Search Report, "Rule Base or Expert System", Dialog Information Services, Inc., Jan. 1992pp. 1-11. (Box A)

Press Release Article of Workflow.2000 by Fischer International Systems Corporation, Jan. 1993. (Box A)

Shark!Bytes, "Shark!Mail 2.0 Workflow as Nature Intended", Lanshark Systems Newsletter, Vol. 3, Issue 1, Copyright Apr., 1993. (Box A)

Jackson, William; "DOE Gives Systems Makeover", Government Computer News, Copyright 1998, Vol. 17, No. 5, 2 pp. (Box B)

Bock, Geoffrey E.; "e:Folders 2.0 from IntraBlocks", Internet Tools and Technologies Service - e-Bulletin, Patricia Seybold Group, 1998; pp. 1, 3-6 (Box B)

IntraBlocks; <http://www.intrablocks.com/intrablocks/index.asp>; viewed on 8/23/99; 3 pp. (Box B)

UPS Document Exchange; <http://www.ups.com/bussol/docex.html>; viewed on 8/23/99; 4 pp.

(Box B)

Services; <http://www.docspace.com/services/services.html>; viewed on 8/24/99; 5 pp. (Box B)

WebNFS: The Filesystem for the World Wide Web; Copyright 1994-1999; 3 pp. (Box B)

Shah, R., What WebNFS Means to You; [http://www.sunworld.com/swol-08-1996/f\\_swol-08-connectivity.html](http://www.sunworld.com/swol-08-1996/f_swol-08-connectivity.html); viewed on 5/29/00; pp.1-5 (Box B)

NIS and NIS+; <http://www.whatis.com/nis.htm>; viewed on 5/29/00; p. 1 (Box B)

RPC; <http://www.whatis.com/rpc.htm>; viewed on 5/29/00; p. 1 (Box B)

NFS; <http://www.whatis.com/nfs.htm>; viewed on 5/29/00; p. 1 (Box B)

WebNFS; <http://www.whatis.com/webnfs.htm>; viewed on 5/29/00; p. 1 (Box B)

Ganymede: Introduction; <http://www.arlut.utexas.edu/gash2/intro.html>; viewed on 5/29/00; p. 1 (Box B)

NFS; <http://webopedia.internet.com/TERM/N/NFS.html>; viewed on 5/29/2000 1:40 p.m.; p. 1 (Box B)

CIFS; <http://webopedia.internet.com/TERM/C/CIFS.html>; viewed on 5/29/2000 1:46 p.m.; p. 1 (Box B)

NSF Security; [http://www.sun.com/software/white-papers/wp-nfs/nfs\\_15.html](http://www.sun.com/software/white-papers/wp-nfs/nfs_15.html); viewed on 5/29/2000 6:59 p.m.; p. 1-5 (Box B)

UPS Document Exchange; <http://www.ups.at/using/services/domestic/docexchange.html>; viewed on 5/30/00; p. 1 (Box B)

Critical Path: How to Use Your Secure Teach Workspace;  
[http://www.docspace.com/howto/manager/manager\\_quicktips\\_creatingteam.html](http://www.docspace.com/howto/manager/manager_quicktips_creatingteam.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Case Studies - Manager;  
[http://www.docspace.com/about/services\\_manager\\_casestud.html](http://www.docspace.com/about/services_manager_casestud.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Features & Benefits; [http://www.docspace.com/about/services\\_features.html](http://www.docspace.com/about/services_features.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Manager; [http://www.docspace.com/about/services\\_manager.html](http://www.docspace.com/about/services_manager.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Drive; [http://www.docspace.com/about/services\\_drive.html](http://www.docspace.com/about/services_drive.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Whats New with Critical Paths Secure File Services;  
[http://www.docspace.com/whats\\_new/april.html](http://www.docspace.com/whats_new/april.html); viewed on 5/30/00; p. 1-3 (Box B)

IntraBlocks - Integration Ware; <http://www.integrationware.com>; viewed on 5/30/00; p. 1 (Box B)

IntraBlocks - Compatibility; <http://www.integrationware.com/Intrablocks/ib-specifications.htm>; viewed on 5/30/00; p. 1-2 (Box B)

IntraBlocks - Architecture; <http://www.integrationware.com/Intrablocks/ib-architecture.htm>; viewed on 5/30/00; p. 1-2 (Box B)

IntraBlocks - Features; <http://www.integrationware.com/Intrablocks/ib-features.htm>; viewed on 5/30/00; p. 1-3 (Box B)

Configuring Access Control;  
[http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0408.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0408.htm); viewed on 8/14/00; pp. 1-4 (Box B)

Access Control; [http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0104.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0104.htm); viewed on 8/14/00; pp. 1-4 (Box B)

Messaging; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212554,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212554,00.html); viewed on 9/6/00; p. 1 (Box B)

Message; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212552,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212552,00.html); viewed on 9/6/00; p. 1 (Box B)

Messaging Server;  
[http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,214556,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214556,00.html); viewed on 9/6/00; p. 1 (Box B)

File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,212120,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,212120,00.html); viewed on 9/28/00; p. 1 (Box B)

Network File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,214121,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,214121,00.html); viewed on 9/28/00; p. 1 (Box B)

File; [http://www.whatis.com/WhatIs\\_Definition\\_Page/0,4152,212118,00.html](http://www.whatis.com/WhatIs_Definition_Page/0,4152,212118,00.html); viewed on September 29, 2000; p. 1 (Box B)

Search Report, "Metadata and Folder and Rule", Dialog Information Services, Inc., Oct. 2000, pp. 1-99, 00-67. (Specific hits are listed on Exhibit B attached to search report.) (Box B)

OLE-DB Simple Provider: A Data Binding API for IE4/MSHTML;  
<http://msdn.microsoft.com/workshop/database/databind/simpletabulardata.asp>; viewed on 10/20/00; pp. 1-6 (Box B)

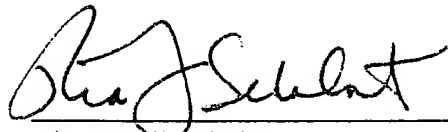
emedicine: Instant Access to the Minds of Medicine - About Us;  
<http://www.emedicine.com/aboutus.shtml>; viewed on 1/4/01; p. 1 (Box B)

emedicine: Instant Access to the Minds of Medicine - World Medical Library;  
<http://www.emedicine.com/content2.shtml>; viewed on 1/4/01; p. 1-2 (Box B)

UPS DOCUMENT EXCHANGE, 4 PAGES, PRODUCT ADVERTISING  
DOCSPACE, 5 PAGES, PRODUCT ADVERTISING  
INTRABLOCKS, 3 PAGES, PRODUCT ADVERTISING

Copies of the listed references are provided. No representation is made or intended that a prior art search has been made or that no better art than the listed is available. It is respectfully requested that the information be considered by the Examiner and made of record in the present application.

The Assistant Commissioner for Patents is authorized to charge any deficiency or credit any overpayment to Frost Brown Todd LLC Deposit Account No. 06-2226.



Ria Farrell Schalnatz  
Registration No. 47,058  
Telephone (513) 651-6167  
FROST BROWN TODD LLC  
2200 PNC Center  
201 East Fifth Street  
Cincinnati, Ohio 45202-4182

10/29/01, 2001

#### CERTIFICATE OF MAILING

I hereby certify that a copy of this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to The Assistant Commissioner of Patents, Washington, D.C. 20231 this 29th day of October, 2001.



## DEVELOPMENT OF THE INVENTION

Development of the present invention stemmed from a previously developed invention, Web-Based Active Virtual File System, for which a patent application was filed on September 29, 1999.

TF Logic, Inc. (*hereinafter*, TF Logic) and Lang Financial Systems, Inc. (*hereinafter*, Lang) arranged a meeting to discuss details of the Web-Based Active Virtual File System for June 22, 2000. Contemporaneous with the meeting, the parties negotiated and signed an Agreement of Confidentiality (*please see* attached) regarding the technology discussed at the meeting. Participants in this meeting included Pat Osterday, Vali Tadayon, Chuck Zwick, Jim Wilson, and Stan Lang. In the course of this meeting, ideas for enhancements to the Web-Based Active Virtual File System were also discussed including an artistic conception (*please see*, attached Figure 1) for a new type of directory system for the Web-Based Active Virtual File System. One purpose of this meeting was to determine whether or not the new directory system would be useful to an entity such as Lang and, therefore, worthwhile for TF Logic to develop. Ultimately, this new type of directory system was developed by TF Logic and a non-provisional, continuation-in-part patent application was filed on this improvement on August 31, 2001. The new patent was entitled, "Active File System." At the time of this meeting, however, the new directory system was merely an idea and development work had not yet begun.

"Public use" of a claimed invention under 35 U.S.C. § 102(b) occurs when the inventor allows another person to use the invention without limitation, restriction or obligation of secrecy to the inventor." MPEP § 2133.03(b). The secret nature of the parties' discussions was preserved by signed Agreements of Confidentiality. Furthermore, because no invention existed at the time of these discussions, it was impossible for TF Logic to allow Lang to use the invention. Therefore, no "public use" was made of the idea of this invention.

A "sale" is a contract between parties wherein the seller agrees to "give and to pass rights of property" in return for the buyer's payment or promise "to pay the seller for the things bought or sold." MPEP § 2133.03(b)(I). It must be demonstrated by clear and convincing evidence that "there was a definite sale or offer to sell by more than one year before the application for the subject patent, and that the subject matter of the sale or offer to sell fully anticipated the claimed invention. Group One, Ltd. v. Hallmark Cards, Inc., 254 F.3d 1041, 1045-1046 (Fed. Cir. 2001) *quoting* UMC Elecs. Co. v. United States, 816 F.2d 647, 656, 2 USPQ2d 1465, 1472 (Fed. Cir. 1987). The Supreme Court further refined this test by requiring a) a commercial offer for sale and b) that the invention must be ready for patenting. Pfaff v. Wells Electronics, Inc., 525 U.S. 55 (1998). Such an offer for sale must meet the level of an offer for sale in the contract sense [generally, under the Uniform Commercial Code or Restatement of Contracts]. Group One, Ltd. v. Hallmark Cards, Inc., 254 F.3d 1041, 1047-48 (Fed. Cir. 2001).

The correspondence between TF Logic and Lang did not amount to a commercial offer to sell the invention for two reasons. First, there was no discussion of price or delivery date for software embodying the new directory system. Second, no invention existed at the time of these discussions, only an idea for an invention. Therefore, the discussions which occurred on June 22, 2000, would not raise any on-sale bar issues for the currently pending application.

This disclosure has been submitted so that applicant fully complies with the duty of candor and good faith imposed by section 37 C.F.R. 1.97. Applicant, however, believes that this disclosure will not affect the patentability of the currently pending application 09/944,663.

<b>PTO FORM 4/92</b>					
<b>FORM PTO-1449</b>		<b>ATTY. DOCKET</b>	484318	<b>SERIAL NO.</b>	09/944,663
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>		<b>APPLICANT</b>	Patrick B. Osterday, et al		
		<b>FILING DATE</b>	8/31/01	<b>GROUP</b>	
Exam Init.					

# **REFERENCES**

5,812,862  
5,900,870  
6,230,185  
4,106,060  
4,503,499  
4,532,588  
4,558,413  
4,646,235  
4,648,061  
4,658,370  
4,713,780  
4,713,837  
4,730,259  
4,734,931  
4,763,277  
4,768,144  
4,805,207  
4,809,219  
4,827,418  
4,831,526  
4,837,798  
4,849,878  
4,860,352  
4,866,634  
4,876,711  
4,879,648  
4,884,217  
4,890,240  
4,891,766  
4,899,136  
4,902,881  
4,912,648  
4,914,590  
4,918,588  
4,924,408  
4,931,933  
4,937,036  
4,939,507  
4,941,170  
4,949,278  
5,040,141

# **INVENTOR**

Smith, et al  
Malone, et al  
Salas, et al  
Chapman, Jr.  
Mason, et al.  
Foster  
Schmidt, et al.  
Hirosawa, et al.  
Foster  
Erman, et al.  
Schultz, et al.  
Gordon  
Gallant  
Bourg, et al.  
Ashford, et al.  
Winter, et al.  
McNutt, et al.  
Ashford, et al  
Gerstenfeld  
Luchs, et al.  
Cohen, et al.  
Roy  
Laurance, et al.  
Reboh, et al.  
Curtin  
Cochran, et al.  
Skeirik, et al  
Loeb, et al.  
Derr, et al.  
Beard, et al.  
Janku  
Tyler  
Loatman, et al.  
Barrett, et al.  
Highland  
Chen, et al.  
Beard, et al.  
Beard, et al.  
Herbst  
Davies, et al  
Yazima, et al.

# **ISSUE DATE**

September 22, 1998  
May 4, 1999  
May 8, 2001  
August 8, 1978  
March 5, 1985  
July 30, 1985  
December 10, 1985  
February 24, 1987  
March 3, 1987  
April 14, 1987  
December 15, 1987  
December 15, 1987  
March 8, 1988  
March 29, 1988  
August 9, 1988  
August 30, 1988  
February 14, 1989  
February 28, 1989  
May 2, 1989  
May 16, 1989  
June 6, 1989  
July 18, 1989  
August 22, 1989  
September 12, 1989  
October 24, 1989  
November 7, 1989  
November 28, 1989  
December 26, 1989  
January 2, 1990  
February 6, 1990  
February 20, 1990  
March 27, 1990  
April 3, 1990  
April 17, 1990  
May 8, 1990  
June 5, 1990  
June 26, 1990  
July 3, 1990  
July 10, 1990  
August 14, 1990  
August 13, 1991

5,063,523	Vrenjak	November 5, 1991
5,103,498	Lanier, et al.	April 7, 1992
5,107,419	MacPhail	April 21, 1992
5,175,795	Tsuda, et al.	December 29, 1992
5,245,532	Mourier	September 14, 1993
5,283,856	Gross, et al.	February 1, 1994
5,317,725	Smith, et al.	May 31, 1994
5,377,354	Scannell, et al.	December 27, 1994
5,555,346	Gross, et al.	September 10, 1996
5,627,764	Schutzman, et al.	May 6, 1997
5,630,127	Moore, et al.	May 13, 1997
5,706,452	Ivanov	January 6, 1998
5,706,502	Foley, et al.	January 6, 1998
5,802,253	Gross, et al.	September 1, 1998
5,835,758	Nochur, et al.	November 10, 1998
5,848,271	Caruso, et al.	December 8, 1998
5,862,325	Reed, et al.	January 19, 1999
5,907,704	Gudmundson, et al.	May 25, 1999
5,917,489	Thurlow, et al.	June 29, 1999
5,999,978	Angal, et al.	December 7, 1999
6,006,215	Retallick	December 21, 1999
6,026,365	Hayashi	February 15, 2000
6,058,395	Buzaglo, et al.	May 2, 2000
6,073,142	Geiger, et al.	June 6, 2000
6,088,702	Plantz, et al.	July 11, 2000
6,088,717	Reed, et al.	July 11, 2000
6,101,500	Lau	August 8, 2000

OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)		
Reference	Website Address (if applicable)	Publications or Visit Date
Statement of Development of the Invention	Attached	October 15, 2001
<b>IDS A</b>	<b>Attached</b>	<b>October 11, 2001</b>
<b>IDS B</b>	<b>Attached</b>	<b>January 11, 2001</b>
<b>IDS C</b>	<b>ATTACHED</b>	<b>October 20, 1999</b>
<b>Exhibit B to Dialog Search Report</b>		<b>10/15/00</b>
<b>Microsoft</b>		
Microsoft Exchange Server (3 pgs.)	<a href="http://microsoft.com/exchange/evaluation/features/default.asp">http://microsoft.com/exchange/evaluation/features/default.asp</a>	viewed on 9/25/01
Web Storage System Collaboration and Applications	<a href="http://www.microsoft.com/Seminar/1033/20000518ExchangeServerDS1/Exchange5_script.txt">http://www.microsoft.com/Seminar/1033/20000518ExchangeServerDS1/Exchange5_script.txt</a>	viewed on 8/23/01
Glossary: file system (1 pg.)	<a href="http://support.microsoft.com/sup">http://support.microsoft.com/sup</a>	viewed on 4/5/01

Microsoft Web Storage System; (1 pg.)	<a href="http://www.microsoft.com/exchange/productinfo/Webstorage.htm">port/glossary/F.asp http://www.microsoft.com/exchange/productinfo/Webstorage.htm</a>	viewed on 4/4/01
Workflow Designer for Exchange 2000 (1 pg)	<a href="http://www.microsoft.com/exchange/productinfo/workflowdesign.htm">http://www.microsoft.com/exchange/productinfo/workflowdesign.htm</a>	viewed on 4/4/01
<b>eMedicine</b> Home Page	<a href="http://www.emedicine.com">http://www.emedicine.com</a> (2 pgs.)	viewed on 9/25/01
eMedicine, Inc. Receives Patent for internet Publishing Software; Information Today; Vol. 17, Issue 9	<a href="http://www.infotoday.com/it/oct00/news14.htm">http://www.infotoday.com/it/oct00/news14.htm</a> (2 pgs.)	October 2000
<b>The Brain</b> (4 pgs.)	<a href="http://www.thebrain.com">http://www.thebrain.com</a> <a href="http://www.thebrain.com/products/personalbrain/default.html">http://www.thebrain.com/products/personalbrain/default.html</a>	viewed on 7/27/01; viewed on 5/14/01;
<b>A Focus+Content Technique Based on Hyperbolic Geometry for Visualizing Large Hierarchies</b> (13 pgs)	<a href="http://www.acm.org/sigchi/chi95/proceedings/papers/jl_bdy.htm">http://www.acm.org/sigchi/chi95/proceedings/papers/jl_bdy.htm</a>	viewed on 7/27/01
<b>WhatIs</b> B-tree (2 pgs.)	<a href="http://searchdatabase.techtarget.com/sDefinition/0,sid13_gci508442.00.html">http://searchdatabase.techtarget.com/sDefinition/0,sid13_gci508442.00.html</a>	Viewed on 7/19/01
Web Server (1 pg.)	<a href="http://whatis.techtarget.com/definition/0,289893,sid9_gci213606.00.html">http://whatis.techtarget.com/definition/0,289893,sid9_gci213606.00.html</a>	viewed on 5/18/01
WebDAV(2 pgs.)	<a href="http://whatis.techtarget.com/definition/0,289893,sid9_gci335020.00.html">http://whatis.techtarget.com/definition/0,289893,sid9_gci335020.00.html</a>	viewed on 4/5/01
File Allocation Table (FAT) (1 pg.)	<a href="http://whatis.techtarget.com/definition/0,289893,sid9_gci213956.00.html">http://whatis.techtarget.com/definition/0,289893,sid9_gci213956.00.html</a>	viewed on 4/5/01
<b>Major Disk Structures and the Boot Process</b> (2 pgs)	<a href="http://www.pcguides.com/ref/hdd/file/struct-1.htm">http://www.pcguides.com/ref/hdd/file/struct-1.htm</a>	viewed on 7/18/01
<b>Hard Disk Logical Structures and File System</b> (18 pgs)	<a href="http://www.pcguides.com/ref/hdd/file/index-i.htm">http://www.pcguides.com/ref/hdd/file/index-i.htm</a>	viewed on 7/18/01
<b>NTFS</b> Files and Data Storage (21 pgs)	<a href="http://www.pcguides.com/ref/hdd/file/ntfs/files-c.html">http://www.pcguides.com/ref/hdd/file/ntfs/files-c.html</a> and associated webpages	viewed on 7/18/01



<b>Scopeware™</b>	<a href="http://www.scopeware.com/products/products_whatish.htm">http://www.scopeware.com/products/products_whatish.htm</a>	viewed on 7/16/01
<b>Inxight Software - Star Tree Walk-Through Tour (13 pgs)</b>	<a href="http://www.inxight.com/demos/ht_walk_thru/index.html">http://www.inxight.com/demos/ht_walk_thru/index.html</a>	viewed on 7/16/01
<b>Types of databases (9 pgs.)</b>	<a href="http://clem.mscd.edu/~tuckerp/C/SI3310/C1.html">http://clem.mscd.edu/~tuckerp/C/SI3310/C1.html</a>	viewed on 5/21/01
<b>News Database (9 pgs.)</b>	<a href="http://www.infosys.tuwien.ac.at/NewsCache/doc/msthesi/node36.html">http://www.infosys.tuwien.ac.at/NewsCache/doc/msthesi/node36.html</a>	viewed on 5/21/01
<b>Ode as an Active Database: Constraints and Triggers;</b> In Proceedings of the 17 <sup>th</sup> International Conference on Very Large Databases (VLDB) pages 327-336, Barcelona, Spain, September 3-6, 1991. (17 pgs) By: Narain Gehani and H.V. Jagadish	<a href="http://citeseer.nj.nec.com/context/4769/300407">http://citeseer.nj.nec.com/context/4769/300407</a>	viewed on 5/21/01
<b>OdeFS: A File System Interface to an Object-Oriented Database (1994); (2 pgs.)</b>	<a href="http://citeseer.nj.nec.com/310215.htm">http://citeseer.nj.nec.com/310215.htm</a>	viewed on 5/21/01
<b>Choosing between NTFS, FAT, and FAT32; (2 pgs)</b>	<a href="http://www.windows.com/windows2000/en/server/help/choosing_between_NTFS_FAT_and_FAT32">http://www.windows.com/windows2000/en/server/help/choosing_between_NTFS_FAT_and_FAT32</a>	viewed on 5/21/01
<b>Distributed File System (4 pgs.)</b>	<a href="http://www.microsoft.com/windows2000/techinfo/howitworks/fileandprint/dfsnew.asp">http://www.microsoft.com/windows2000/techinfo/howitworks/fileandprint/dfsnew.asp</a>	viewed on 5/21/01
<b>Webopedia Definition and Links</b> file allocation table	<a href="http://www.webopedia.com/TERM/F/file_allocation_table_FAT.html">http://www.webopedia.com/TERM/F/file_allocation_table_FAT.html</a>	viewed on 5/19/01
<b>Google Search</b> "central file system" (2 pgs.)	<a href="http://www.google.com/search?q=%22central+file+system%22&amp;btnG=Google+Search">http://www.google.com/search?q=%22central+file+system%22&amp;btnG=Google+Search</a>	viewed on 5/19/01
<b>Best Storage Web Links (1 pg)</b>	<a href="http://searchstorage.techtarget.com/bestWebLinks/0..sid5_tax459_00.html">http://searchstorage.techtarget.com/bestWebLinks/0..sid5_tax459_00.html</a>	viewed on 5/18/01

<b>eRooms (36 pages)</b>	<a href="http://www.eroom.com/tour.html">http://www.eroom.com/tour.html</a> & associated pages <a href="http://www.instinctive.com">http://www.instinctive.com</a> <a href="http://www.instinctive.com/product/v_five.asp">http://www.instinctive.com/product/v_five.asp</a>	viewed on 5/14/01
<i>Extending eRoom: An Instinctive White Paper (4 pgs.)</i>		1999
<i>e:Folders 2.0 from IntraBlocks; (7 pgs.)</i>		June 15, 1998
<b>ZDNet</b>		viewed on 5/14/01
<i>eRoom 4.0; (3 pgs)</i>	<a href="http://home.zdnet.com/products/stories/reviews/0,4161,2337328,0,0.html">http://home.zdnet.com/products/stories/reviews/0,4161,2337328,0,0.html</a>	
<i>Instinctive Technology Inc.: eRoom (3 pgs)</i>	<a href="http://www.zdnet.com/pcmag/stories/reviews/0,6755,311635,0,0.html">http://www.zdnet.com/pcmag/stories/reviews/0,6755,311635,0,0.html</a>	
<i>Company Detail (Instinctive Technology, Inc.) (2 pgs.)</i>	<a href="http://home.zdnet.com/companyfinder/filters/detail/0,9991,7177,0,0.html">http://home.zdnet.com/companyfinder/filters/detail/0,9991,7177,0,0.html</a>	
<i>QuickPlace 1. (3 pgs)</i>	<a href="http://home.zdnet.com/products/stories/reviews/0,4161,2337331,0,0.html">http://home.zdnet.com/products/stories/reviews/0,4161,2337331,0,0.html</a>	
<i>HotOffice 2.0 (3 pgs)</i>	<a href="http://home.zdnet.com/products/stories/reviews/0,4161,2337329,0,0.html">http://home.zdnet.com/products/stories/reviews/0,4161,2337329,0,0.html</a>	
<b>Installing the Oracle Internet File System (18 pgs.)</b>	<a href="http://otn.oracle.com/products/oracle9i/htdocs/9ipak/oifs/ifsinstall/ifsinstall.html">http://otn.oracle.com/products/oracle9i/htdocs/9ipak/oifs/ifsinstall/ifsinstall.html</a>	viewed on 5/15/01
<b>Welcome to WebDAV Resources (1 pg.)</b>	<a href="http://www.webdav.org">http://www.webdav.org</a>	viewed on 4/5/01
<b>The Active Database Central: Introduction (2 pgs.)</b>	<a href="http://www.ida.his.se/ida/adc/intro.html">http://www.ida.his.se/ida/adc/intro.html</a>	viewed on 3/23/01
<b>Database software: Oracle Splits the Logic (1 pg.)</b>	<a href="http://www.informationweek.com/534/34mtora.htm">http://www.informationweek.com/534/34mtora.htm</a> ;	viewed on 3/23/01
<b>Create an active database (1 pg.)</b>	<a href="http://cnfnfn.cnn.com/2001/01/30/soho/q_jane_idea78">http://cnfnfn.cnn.com/2001/01/30/soho/q_jane_idea78</a>	January 30, 2001
<b>Oracle to offer Net file system for broader content</b>	<a href="http://news.cnet.com/news/0-1003-200-1721409.html">http://news.cnet.com/news/0-1003-200-1721409.html</a>	April 20, 2000

By: Wylie Wong (3 pgs.)		
<b>Oracle Internet File System</b>  <i>Freedom to Innovate: Oracle® Internet File System Developer's Kit (9 pgs.)</i>  <i>Technical Data Sheet</i>  <i>Understanding the Oracle8i™ Internet File System (iFS) Option (7 pgs)</i>	<a href="http://www.oracle.com/ip/dep/ol/databases/features/ifs.html">http://www.oracle.com/ip/dep/ol/databases/features/ifs.html</a> & <a href="http://www.oracle.com/ip/dep/ol/databases/collateral/ifsfol1.htm">http://www.oracle.com/ip/dep/ol/databases/collateral/ifsfol1.htm</a> 1	© 2000  November 2000  March 1999  February 1999
<b>Server Access API Programmer's Guide Instinctive Technology (52 pgs.)</b>		August 12, 1999
<b>File Systems in Unix; Norman Matloff, Department of Computer Science, University of California at Davis (5 pgs)</b>	<a href="http://heather.cs.ucdavis.edu/~matloff/UnixAndC/Unix/FileSyst.html">http://heather.cs.ucdavis.edu/~matloff/UnixAndC/Unix/FileSyst.html</a>	10/19/98
<b>Government Computer News; Vol. 17, No. 5 (2 pgs.)</b>		March 9, 1998
<b>Bringing the File System into the File: Making Information More Accessible Through Object Stores, Simon St. Laurent: (8 pgs)</b>		1998
<b>REFLEX Active Database (5 pgs.)</b>	<a href="http://www.gre.ac.uk/~w.naqvi/reflex">http://www.gre.ac.uk/~w.naqvi/reflex</a>	July 3, 1996
<b>Polycenter Advanced File System and Utilities for Digital Unix: Guide to File System Administration &amp; associated pages (10 pgs)</b>	<a href="http://apache.ethz.ch/docu/AFA402/figures/admin-home.html">http://apache.ethz.ch/docu/AFA402/figures/admin-home.html</a>	© 1996
<b>WebShare™ Designer Application Guide (175 pgs.)</b>		unknown

Product Brochure entitled "BeyondMail Electronic Mail for Productive Workgroups," by Beyond Incorporated, consisting of cover page and 6 pages of information (undated). (Box A)

IntraBlocks Brochure - e:Folders; No date; 2 pp. (Box A)

Gold, E., "ETC: An AI Based Electronic Mailer," Research Notes, Computer Research Laboratory, Tektronix, Inc., P.O. Box 500, MS 50-662, Beaverton, OR 97077, Draft - June 28, 1985, pp. 1-15 plus 10 pages consisting of references, list of figures, and list of tables.

(Box A)

Greif, I. and Sarin, S., "Data Sharing in Group Work," Massachusetts Institute of Technology, Laboratory for Computer Science, Oct. 1986, pp. 1-10. (Note: This paper was to have appeared in proceedings of Conference on Computer-Supported Cooperative Work, Dec. 3-5, 1986, Austin, Texas). (Box A)

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D., "Semistructured Messages are Surprisingly Useful for Computer-Supported Coordination," Research Contributions, ACM Transactions on Office Information Systems, Vol. 5, No. 2, Apr. 1987, pp. 115-131. (Box A)

Malone, T.W.; Grant, K.R.; Turbak, F.A.; Brobst, S.A.; and Cohen, M.D., "Intelligent Information-Sharing Systems," Communications of the ACM, May 1987, Vol. 30, No. 5, pp. 390-402. (Box A)

Rosenburg, J., Everhart, C.F., and Borenstein, N.S., "An Overview of the Andrew Message System," Jul. 1987, Copyright 1988 ACM 0-89791-245-4/88/0001/0099, pp. 99-108. (Box A)

Lai, K.Y., Malone, T.W., and Yu, K.C., "Object Lens: A 'Spreadsheet' for Cooperative Work," ACM Transactions on Office Information Systems, 1988, pp.1-28 plus Figs. 1-11. (Box A)

Dutta, S. "An Event Based Fuzzy Temporal Logic" Copyright 1988 IEEE pp. 74-71. (Box A)

Arcidiacono, T. "Expert System On-Call", Copyright 1988, PC Tech Journal, Nov. 1988, pp. 112-135. (Box A)

Kottemann, et al, "Process-Oriented Model Integration," Proc. 21<sup>st</sup> Annual Hawaii Intl Conf. on System Sciences, 5-8 Jan. 1988, 396-402. (Box A)

Putz, S. "Babar: An Electronic Mail Database," Copyright 1988 Xerox Corporation, Palo Alto, California, Xerox Parc, SSL-88-1, Apr, 1988, pp. 1-17 with attached Babar User Guide, pp. 1-30. (Box A)

Pollock, S., "A Rule-Based Message Filtering System," ACM Transactions on Office Information Systems, Vol. 6, No. 3, Jul. 1988, pp. 232,254. (Box A)

Crowston, K. and Malone, T.W., "Intelligent Software Agents," Byte, Dec. 1988, pp. 267-271. (Box A)

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D.A. "The Information Lens: An Intelligent System for Information Sharing and Coordination,: Technological Support for Work Group Collaboration, M.H. Olson (Ed.), Hillsdale, NJ: Lawrence Erlbaum Associates, 1989, pp. 65-88. (Box A)

Overton, et al., "A Fuzzy Representation for Event Occurrence", SPIE Vol. 1198 Sensor Fusion II: Human and Machine Strategies, 1989, 472-479. (Box A)

MacKay, W.E.; Malone, T.W.; Crowston, K.; Rao, R.; Rosenblitt, D.; and Card, S.K., "How do Experienced Information Lens Users Use Rules?" Copyright 1989 ACM (Association for

Computing Machinery), CHI'89 Proceedings, May 1989, pp. 211-216. (Box A)

Roberto, et al, "A Knowledge-Based System for Seismological Signal Understanding", 1989 Intl. Conf. on Acoustics, Speech and Signal Processing, 23-26 May 1989, M8.9. (Box A)

MacKay, W.E.; Gardner, B.R.; Mintz, T.H.; PITO, R.A.; and Siegal, J.B., "Argus Design Specification," Copyright 1989 Massachusetts Institute of Technology, Draft: 17 Oct. 1989, pp. 1-50. (Box A)

Press Releases, Newspaper and Magazine Articles, and Prepublication Research Notes relating to Beyond, Inc., and BeyondMail, dated between Oct. 17, 1989, and Sep. 24, 1991, individually listed and identified as items #1 through #33 on Cover Sheet Entitled 'Appendix A'. (Box A)

Fischer International Systems Corporation, "EMC(^2)TAO Electronic Mail Communication Center", Copyright 1990. (Box A)

D.A. Young, "The X Window System: Programming and Applications with Xt OSF/Motif® Edition", Prentice Hall (1990), pp. 1-13, 123-144. (Box A)

Lee, J. and Malone, T.W., "Partially Shared Views: A Scheme for Communicating Among Groups that use Different Type Hierarchies," ACM Transactions on Information Systems, Vol. 8, No. 1, Jan. 1990, pp. 1-26. (Box A)

Perkins, W.A., "Adding Temporal Reasoning to Expert-System-Building Environments" Copyright 1990 IEEE Expert, Feb. 1990, pp. 23-30. (Box A)

Marshak, D.S., "Filters: Separating the Wheat from the Chaff," Patricia Seybold's Office Computing Report, Vol. 13, No. 11, Nov. 1990, pp. 1-8. (Box A)

Product Brochure entitled "BeyondMail Personal Productivity Tool," Beyond Incorporated, 2 pp. (Box A)

Ayre, R., "Evolving E-Mail: Will Client/Server get the Message?", PC Magazine, Sep. 10, 1991, p. 322(2). (Box A)

Fischer International System Corporation, "Workflow.2000 The Business Tool for EMC(^2)TAO", Copyright 1992. (Box A)

Fischer International Systems Corporation, "Workflow.2000 The Business Tool for Office Vision", Copyright 1992. (Box A)

Search Report, "Rule Base or Expert System", Dialog Information Services, Inc., Jan. 1992pp. 1-11. (Box A)

Press Release Article of Workflow.2000 by Fischer International Systems Corporation, Jan. 1993. (Box A)

Shark!Bytes, "Shark!Mail 2.0 Workflow as Nature Intended", Lanshark Systems Newsletter, Vol. 3, Issue 1, Copyright Apr., 1993. (Box A)

Jackson, William; "DOE Gives Systems Makeover", Government Computer News, Copyright 1998, Vol. 17, No. 5, 2 pp. (Box B)

Bock, Geoffrey E.; "e:Folders 2.0 from IntraBlocks", Internet Tools and Technologies Service - e-Bulletin, Patricia Seybold Group, 1998; pp. 1, 3-6 (Box B)

IntraBlocks; <http://www.intrablocks.com/intrablocks/index.asp>; viewed on 8/23/99; 3 pp. (Box B)

UPS Document Exchange; <http://www.ups.com/bussol/docex.html>; viewed on 8/23/99; 4 pp. (Box B)

Services; <http://www.docspace.com/services/services.html>; viewed on 8/24/99; 5 pp. (Box B)

WebNFS: The Filesystem for the World Wide Web; Copyright 1994-1999; 3 pp. (Box B)

Shah, R., What WebNFS Means to You; [http://www.sunworld.com/swol-08-1996/f\\_swol-08-connectivity.html](http://www.sunworld.com/swol-08-1996/f_swol-08-connectivity.html); viewed on 5/29/00; pp.1-5 (Box B)

NIS and NIS+; <http://www.whatis.com/nis.htm>; viewed on 5/29/00; p. 1 (Box B)

RPC; <http://www.whatis.com/rpc.htm>; viewed on 5/29/00; p. 1 (Box B)

NFS; <http://www.whatis.com/nfs.htm>; viewed on 5/29/00; p. 1 (Box B)

WebNFS; <http://www.whatis.com/webnfs.htm>; viewed on 5/29/00; p. 1 (Box B)

Ganymede: Introduction; <http://www.arlut.utexas.edu/gash2/intro.html>; viewed on 5/29/00; p. 1 (Box B)

NFS; <http://webopedia.internet.com/TERM/N/NFS.html>; viewed on 5/29/2000 1:40 p.m.; p. 1 (Box B)

CIFS; <http://webopedia.internet.com/TERM/C/CIFS.html>; viewed on 5/29/2000 1:46 p.m.; p. 1 (Box B)

NSF Security; [http://www.sun.com/software/white-papers/wp-nfs/nfs\\_15.html](http://www.sun.com/software/white-papers/wp-nfs/nfs_15.html); viewed on 5/29/2000 6:59 p.m.; p. 1-5 (Box B)

UPS Document Exchange; <http://www.ups.at/using/services/domestic/docexchange.html>; viewed on 5/30/00; p. 1 (Box B)

Critical Path: How to Use Your Secure Teach Workspace; [http://www.docspace.com/howto/manager/manager\\_quicktips\\_creatingteam.html](http://www.docspace.com/howto/manager/manager_quicktips_creatingteam.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Case Studies - Manager; [http://www.docspace.com/about/services\\_manager\\_casestud.html](http://www.docspace.com/about/services_manager_casestud.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Features & Benefits; [http://www.docspace.com/about/services\\_features.html](http://www.docspace.com/about/services_features.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Manager; [http://www.docspace.com/about/services\\_manager.html](http://www.docspace.com/about/services_manager.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Drive; [http://www.docspace.com/about/services\\_drive.html](http://www.docspace.com/about/services_drive.html); viewed on 5/30/00; p. 1 (Box B)

Critical Path: Whats New with Critical Paths Secure File Services; [http://www.docspace.com/whats\\_new/april.html](http://www.docspace.com/whats_new/april.html); viewed on 5/30/00; p. 1-3 (Box B)

IntraBlocks - Integration Ware; <http://www.integrationware.com>; viewed on 5/30/00; p. 1 (Box B)

IntraBlocks - Compatibility; <http://www.integrationware.com/Intrablocks/ib-specifications.htm>; viewed on 5/30/00; p. 1-2 (Box B)

IntraBlocks - Architecture; <http://www.integrationware.com/Intrablocks/ib-architecture.htm>; viewed on 5/30/00; p. 1-2 (Box B)

IntraBlocks - Features; <http://www.integrationware.com/Intrablocks/ib-features.htm>; viewed on 5/30/00; p. 1-3 (Box B)

Configuring Access Control; [http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0408.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0408.htm); viewed on 8/14/00; pp. 1-4 (Box B)

Access Control; [http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0104.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0104.htm); viewed on 8/14/00; pp. 1-4 (Box B)

Messaging; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212554,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212554,00.html); viewed on 9/6/00; p. 1 (Box B)

Message; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212552,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212552,00.html); viewed on 9/6/00; p. 1 (Box B)

Messaging Server; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,214556,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214556,00.html); viewed on 9/6/00; p. 1 (Box B)

File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,212120,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,212120,00.html); viewed on 9/28/00; p. 1 (Box B)

Network File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,214121,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,214121,00.html); viewed on 9/28/00; p. 1 (Box B)

File; [http://www.whatis.com/WhatIs\\_Definition\\_Page/0,4152,212118,00.html](http://www.whatis.com/WhatIs_Definition_Page/0,4152,212118,00.html); viewed on September 29, 2000; p. 1 (Box B)

Search Report, "Metadata and Folder and Rule", Dialog Information Services, Inc., Oct. 2000, pp. 1-99, 00-67. (Specific hits are listed on Exhibit B attached to search report.) (Box B)

OLE-DB Simple Provider: A Data Binding API for IE4/MSHTML; <http://msdn.microsoft.com/workshop/database/databind/simpletabulardata.asp>; viewed on 10/20/00; pp. 1-6 (Box B)

emedicine: Instant Access to the Minds of Medicine - About Us;

<http://www.emedicine.com/aboutus.shtml>; viewed on 1/4/01; p. 1 (Box B)

emedicine: Instant Access to the Minds of Medicine - World Medical Library;  
<http://www.emedicine.com/content2.shtml>; viewed on 1/4/01; p. 1-2 (Box B)

UPS DOCUMENT EXCHANGE, 4 PAGES, PRODUCT ADVERTISING

DOCSPACE, 5 PAGES, PRODUCT ADVERTISING

INTRABLOCKS, 3 PAGES, PRODUCT ADVERTISING

EXAMINER \_\_\_\_\_ DATE CONSIDERED \_\_\_\_\_ Page \_\_\_\_ of \_\_\_\_

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicant: Vali Tadayon, et al : Paper No:  
 Serial No. 09/421,808 : Group Art Unit:  
 Filed: October 20, 1999 : Examiner:

For: **METHOD AND APPARATUS FOR AN ACTIVE FILE SYSTEM**

INFORMATION DISCLOSURE STATEMENT**RECEIVED**

AUG 12 2004

THE ASSISTANT COMMISSIONER FOR PATENTS  
 Washington, D.C. 20231

Technology Center 2100

Dear Sir:

In accordance with 37 C.F.R. §§1.97 and 1.98, Applicants herewith submit certain patent references and other information, which the Patent & Trademark Office may wish to consider in examining the above-identified application. The references and information are provided below, and are also listed on the attached Form PTO-1449.

REFERENCESINVENTORISSUE DATE

4,106,060	Chapman, Jr.	August 8, 1978
4,503,499	Mason, et al.	March 5, 1985
4,532,588	Foster	July 30, 1985
4,558,413	Schmidt, et al.	December 10, 1985
4,646,235	Hirosawa, et al.	February 24, 1987
4,648,061	Foster	March 3, 1987
4,658,370	Erman, et al.	April 14, 1987
4,713,780	Schultz, et al.	December 15, 1987
4,713,837	Gordon	December 15, 1987
4,730,259	Gallant	March 8, 1988
4,734,931	Bourg, et al.	March 29, 1988
4,763,277	Ashford, et al.	August 9, 1988
4,768,144	Winter, et al.	August 30, 1988
4,805,207	McNutt, et al.	February 14, 1989
4,809,219	Ashford, et al	February 28, 1989
4,827,418	Gerstenfeld	May 2, 1989
4,831,526	Luchs, et al.	May 16, 1989
4,837,798	Cohen, et al.	June 6, 1989
4,849,878	Roy	July 18, 1989
4,860,352	Laurance, et al.	August 22, 1989
4,866,634	Reboh, et al.	September 12, 1989
4,876,711	Curtin	October 24, 1989
4,879,648	Cochran, et al.	November 7, 1989
4,884,217	Skeirik, et al	November 28, 1989
4,890,240	Loeb, et al.	December 26, 1989

4,891,766	Derr, et al.	January 2, 1990
4,899,136	Beard, et al.	February 6, 1990
4,902,881	Janku	February 20, 1990
4,912,648	Tyler	March 27, 1990
4,914,590	Loatman, et al.	April 3, 1990
4,918,588	Barrett, et al.	April 17, 1990
4,924,408	Highland	May 8, 1990
4,931,933	Chen, et al.	June 5, 1990
4,937,036	Beard, et al.	June 26, 1990
4,939,507	Beard, et al.	July 3, 1990
4,941,170	Herbst	July 10, 1990
4,949,278	Davies, et al.	August 14, 1990
5,040,141	Yazima, et al.	August 13, 1991
5,063,523	Vrenjak	November 5, 1991
5,103,498	Lanier, et al.	April 7, 1992
5,107,419	MacPhail	April 21, 1992
5,175,795	Tsuda, et al.	December 29, 1992
5,245,532	Mourier	September 14, 1993
5,283,856	Gross, et al.	February 1, 1994
5,317,725	Smith, et al.	May 31, 1994
5,377,354	Scannell, et al.	December 27, 1994
5,555,346	Gross, et al.	September 10, 1996
5,627,764	Schutzman, et al.	May 6, 1997
5,630,127	Moore, et al.	May 13, 1997
5,706,452	Ivanov	January 6, 1998
5,706,502	Foley, et al.	January 6, 1998
5,802,253	Gross, et al.	September 1, 1998
5,835,758	Nochur, et al.	November 10, 1998
5,848,271	Caruso, et al.	December 8, 1998
5,862,325	Reed, et al.	January 19, 1999
5,907,704	Gudmundson, et al.	May 25, 1999
5,917,489	Thurlow, et al.	June 29, 1999
5,999,978	Angal, et al.	December 7, 1999
6,006,215	Retallick	December 21, 1999
6,026,365	Hayashi	February 15, 2000
6,058,395	Buzaglo, et al.	May 2, 2000
6,073,142	Geiger, et al.	June 6, 2000
6,088,702	Plantz, et al.	July 11, 2000
6,088,717	Reed, et al.	July 11, 2000
6,101,500	Lau	August 8, 2000

**OTHER REFERENCES** (The following references are divided into two sets (A and B). This division, however, was merely a function of fitting the attached copies into the shipping container. No weight should be implied by virtue of the division as these references are ordered by publication date.)

A

Product Brochure entitled "BeyondMail Electronic Mail for Productive Workgroups," by Beyond Incorporated, consisting of cover page and 6 pages of information (undated).

IntraBlocks Brochure - e:Folders; No date; 2 pp.

Gold, E., "ETC: An AI Based Electronic Mailer," Research Notes, Computer Research Laboratory, Tektronix, Inc., P.O. Box 500, MS 50-662, Beaverton, OR 97077, Draft - June 28, 1985, pp. 1-15 plus 10 pages consisting of references, list of figures, and list of tables.

Greif, I. and Sarin, S., "Data Sharing in Group Work," Massachusetts Institute of Technology, Laboratory for Computer Science, Oct. 1986, pp. 1-10. (Note: This paper was to have appeared in proceedings of Conference on Computer-Supported Cooperative Work, Dec. 3-5, 1986, Austin, Texas).

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D., "Semistructured Messages are Surprisingly Useful for Computer-Supported Coordination," Research Contributions, ACM Transactions on Office Information Systems, Vol. 5, No. 2, Apr. 1987, pp. 115-131.

Malone, T.W.; Grant, K.R.; Turbak, F.A.; Brobst, S.A.; and Cohen, M.D., "Intelligent Information-Sharing Systems," Communications of the ACM, May 1987, Vol. 30, No. 5, pp. 390-402.

Rosenburg, J., Everhart, C.F., and Borenstein, N.S., "An Overview of the Andrew Message System," Jul. 1987, Copyright 1988 ACM 0-89791-245=4/88/0001/0099, pp. 99-108.

Lai, K.Y., Malone, T.W., and Yu, K.C., "Object Lens: A 'Spreadsheet' for Cooperative Work," ACM Transactions on Office Information Systems, 1988, pp.1-28 plus Figs. 1-11.

Dutta, S. "An Event Based Fuzzy Temporal Logic" Copyright 1988 IEEE pp. 74-71.

Arcidiacono, T. "Expert System On-Call", Copyright 1988, PC Tech Journal, Nov. 1988, pp. 112-135.

Kottemann, et al, "Process-Oriented Model Integration," Proc. 21<sup>st</sup> Annual Hawaii Intl Conf. on System Sciences, 5-8 Jan. 1988, 396-402.

Putz, S. "Babar: An Electronic Mail Database," Copyright 1988 Xerox Corporation, Palo Alto, California, Xerox Parc, SSL-88-1, Apr, 1988, pp. 1-17 with attached Babar User Guide, pp. 1-30.

Pollock, S., "A Rule-Based Message Filtering System," ACM Transactions on Office Information Systems, Vol. 6, No. 3, Jul. 1988, pp. 232,254.

Crowston, K. and Malone, T.W., "Intelligent Software Agents," Byte, Dec. 1988, pp. 267-271.

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D.A. "The Information Lens: An Intelligent System for Information Sharing and Coordination,: Technological Support for

Work Group Collaboration, M.H. Olson (Ed.), Hillsdale, NJ: Lawrence Erlbaum Associates, 1989, pp. 65-88.

Overton, et al., "A Fuzzy Representation for Event Occurrence", SPIE Vol. 1198 Sensor Fusion II: Human and Machine Strategies, 1989, 472-479.

MacKay, W.E.; Malone, T.W.; Crowston, K.; Rao, R.; Rosenblitt, D.; and Card, S.K., "How do Experienced Information Lens Users Use Rules?" Copyright 1989 ACM (Association for Computing Machinery), CHI'89 Proceedings, May 1989, pp. 211-216.

Roberto, et al, "A Knowledge-Based System for Seismological Signal Understanding", 1989 Intl. Conf. on Acoustics, Speech and Signal Processing, 23-26 May 1989, M8.9.

MacKay, W.E.; Gardner, B.R.; Mintz, T.H.; PITO, R.A.; and Siegal, J.B., "Argus Design Specification," Copyright 1989 Massachusetts Institute of Technology, Draft: 17 Oct. 1989, pp. 1-50.

Press Releases, Newspaper and Magazine Articles, and Prepublication Research Notes relating to Beyond, Inc., and BeyondMail, dated between Oct. 17, 1989, and Sep. 24, 1991, individually listed and identified as items #1 through #33 on Cover Sheet Entitled 'Appendix A'.

Fischer International Systems Corporation, "EMC(^2)TAO Electronic Mail Communication Center", Copyright 1990.

D.A. Young, "The X Window System: Programming and Applications with Xt OSF/Motif® Edition", Prentice Hall (1990), pp. 1-13, 123-144.

Lee, J. and Malone, T.W., "Partially Shared Views: A Scheme for Communicating Among Groups that use Different Type Hierachies," ACM Transactions on Information Systems, Vol. 8, No. 1, Jan. 1990, pp. 1-26.

Perkins, W.A., "Adding Temporal Reasoning to Expert-System-Building Environments" Copyright 1990 IEEE Expert, Feb. 1990, pp. 23-30.

Marshak, D.S., "Filters: Separating the Wheat from the Chaff," Patricia Seybold's Office Computing Report, Vol. 13, No. 11, Nov. 1990, pp. 1-8.

Product Brochure entitled "BeyondMail Personal Productivity Tool," Beyond Incorporated, 2 pp.

Ayre, R., "Evolving E-Mail: Will Client/Server get the Message?", PC Magazine, Sep. 10, 1991, p. 322(2).

Fischer International System Corporation, "Workflow.2000 The Business Tool for EMC(^2)TAO", Copyright 1992.

Fischer International Systems Corporation, "Workflow.2000 The Business Tool for Office Vision", Copyright 1992.

Search Report, "Rule Base or Expert System", Dialog Information Services, Inc., Jan.

1992pp. 1-11.

Press Release Article of Workflow.2000 by Fischer International Systems Corporation, Jan. 1993.

Shark!Bytes, "Shark!Mail 2.0 Workflow as Nature Intended", Lanshark Systems Newsletter, Vol. 3, Issue 1, Copyright Apr., 1993.

## B

Jackson, William; "DOE Gives Systems Makeover", Government Computer News, Copyright 1998, Vol. 17, No. 5, 2 pp.

Bock, Geoffrey E.; "e:Folders 2.0 from IntraBlocks", Internet Tools and Technologies Service - e-Bulletin, Patricia Seybold Group, 1998; pp. 1, 3-6

IntraBlocks; <http://www.intrablocks.com/intrablocks/index.asp>; viewed on 8/23/99; 3 pp.

UPS Document Exchange; <http://www.ups.com/bussol/docex.html>; viewed on 8/23/99; 4 pp.

Services; <http://www.docspace.com/services/services.html>; viewed on 8/24/99; 5 pp.

WebNFS: The Filesystem for the World Wide Web; Copyright 1994-1999; 3 pp.

Shah, R., What WebNFS Means to You; [http://www.sunworld.com/swol-08-1996/f\\_swol-08-connectivity.html](http://www.sunworld.com/swol-08-1996/f_swol-08-connectivity.html); viewed on 5/29/00; pp.1-5

NIS and NIS+; <http://www.whatis.com/nis.htm>; viewed on 5/29/00; p. 1

RPC; <http://www.whatis.com/rpc.htm>; viewed on 5/29/00; p. 1

NFS; <http://www.whatis.com/nfs.htm>; viewed on 5/29/00; p. 1

WebNFS; <http://www.whatis.com/webnfs.htm>; viewed on 5/29/00; p. 1

Ganymede: Introduction; <http://www.arlut.utexas.edu/gash2/intro.html>; viewed on 5/29/00; p. 1

NFS; <http://webopedia.internet.com/TERM/N/NFS.html>; viewed on 5/29/2000 1:40 p.m.; p. 1

CIFS; <http://webopedia.internet.com/TERM/C/CIFS.html>; viewed on 5/29/2000 1:46 p.m.; p. 1

NSF Security; [http://www.sun.com/software/white-papers/wp-nfs/nfs\\_15.html](http://www.sun.com/software/white-papers/wp-nfs/nfs_15.html); viewed on 5/29/2000 6:59 p.m.; p. 1-5

UPS Document Exchange; <http://www.ups.at/using/services/domestic/docexchange.html>; viewed on 5/30/00; p. 1

Critical Path: How to Use Your Secure Teach Workspace;  
[http://www.docspace.com/howto/manager/manager\\_quicktips\\_creatingteam.html](http://www.docspace.com/howto/manager/manager_quicktips_creatingteam.html); viewed on

5/30/00; p. 1

Critical Path: Case Studies - Manager;

[http://www.docspace.com/about/services\\_manager\\_casestud.html](http://www.docspace.com/about/services_manager_casestud.html); viewed on 5/30/00; p. 1

Critical Path: Features & Benefits; [http://www.docspace.com/about/services\\_features.html](http://www.docspace.com/about/services_features.html); viewed on 5/30/00; p. 1

Critical Path: Manager; [http://www.docspace.com/about/services\\_manager.html](http://www.docspace.com/about/services_manager.html); viewed on 5/30/00; p. 1

Critical Path: Drive; [http://www.docspace.com/about/services\\_drive.html](http://www.docspace.com/about/services_drive.html); viewed on 5/30/00; p. 1

Critical Path: Whats New with Critical Paths Secure File Services;

[http://www.docspace.com/whats\\_new/april.html](http://www.docspace.com/whats_new/april.html); viewed on 5/30/00; p. 1-3

IntraBlocks - Integration Ware; <http://www.integrationware.com>; viewed on 5/30/00; p. 1

IntraBlocks - Compatibility; <http://www.integrationware.com/Intrablocks/ib-specifications.htm>; viewed on 5/30/00; p. 1-2

IntraBlocks - Architecture; <http://www.integrationware.com/Intrablocks/ib-architecture.htm>; viewed on 5/30/00; p. 1-2

IntraBlocks - Features; <http://www.integrationware.com/Intrablocks/ib-features.htm>; viewed on 5/30/00; p. 1-3

Configuring Access Control;

[http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0408.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0408.htm); viewed on 8/14/00; pp. 1-4

Access Control; [http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0104.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0104.htm); viewed on 8/14/00; pp. 1-4

Messaging; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212554,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212554,00.html); viewed on 9/6/00; p. 1

Message; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212552,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212552,00.html); viewed on 9/6/00; p. 1

Messaging Server;

[http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,214556,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214556,00.html); viewed on 9/6/00; p. 1

File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,212120,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,212120,00.html); viewed on 9/28/00; p. 1

Network File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,214121,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,214121,00.html); viewed on 9/28/00; p. 1

File; [http://www.whatis.com/WhatIs\\_Definition\\_Page/0,4152,212118,00.html](http://www.whatis.com/WhatIs_Definition_Page/0,4152,212118,00.html); viewed on

September 29, 2000; p. 1

Search Report, "Metadata and Folder and Rule", Dialog Information Services, Inc., Oct. 2000, pp.1-99, 00-67. (Specific hits are listed on Exhibit B attached to search report.)

OLE-DB Simple Provider: A Data Binding API for IE4/MSHTML;  
<http://msdn.microsoft.com/workshop/database/databind/simpletabulardata.asp>; viewed on 10/20/00; pp. 1-6

emedicine: Instant Access to the Minds of Medicine - About Us;  
<http://www.emedicine.com/aboutus.shtml>; viewed on 1/4/01; p. 1

emedicine: Instant Access to the Minds of Medicine - World Medical Library;  
<http://www.emedicine.com/content2.shtml>; viewed on 1/4/01; p. 1-2

Copies of the listed references are provided. No representation is made or intended that a prior art search has been made or that no better art than the listed is available. It is respectfully requested that the information be considered by the Examiner and made of record in the present application.

The Assistant Commissioner for Patents is authorized to charge any deficiency or credit any overpayment to Frost Brown Todd LLC Deposit Account No. 06-2226.



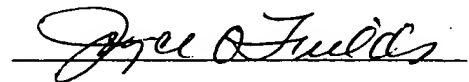
Ria Farrell Schalnat  
 Registration No. 47,058  
 Telephone (513) 651-6167  
 FROST BROWN TODD LLC  
 2200 PNC Center  
 201 East Fifth Street  
 Cincinnati, Ohio 45202-4182

January 11, 2001

**CERTIFICATE OF MAILING**

I hereby certify that a copy of this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to The Assistant Commissioner of Patents, Washington, D.C. 20231 this 11th day of January, 2001.

C:\library\1011712.1



5,245,532	Mourier	September 14, 1993
5,283,856	Gross, et al.	February 1, 1994
5,317,725	Smith, et al.	May 31, 1994
5,377,354	Scannell, et al.	December 27, 1994
5,555,346	Gross, et al.	September 10, 1996
5,627,764	Schutzman, et al.	May 6, 1997
5,630,127	Moore, et al.	May 13, 1997
5,706,452	Ivanov	January 6, 1998
5,706,502	Foley, et al.	January 6, 1998
5,802,253	Gross, et al.	September 1, 1998
5,835,758	Nochur, et al.	November 10, 1998
5,848,271	Caruso, et al.	December 8, 1998
5,862,325	Reed, et al.	January 19, 1999
5,907,704	Gudmundson, et al.	May 25, 1999
5,917,489	Thurlow, et al.	June 29, 1999
5,999,978	Angal, et al.	December 7, 1999
6,006,215	Retallick	December 21, 1999
6,026,365	Hayashi	February 15, 2000
6,058,395	Buzaglo, et al.	May 2, 2000
6,073,142	Geiger, et al.	June 6, 2000
6,088,702	Plantz, et al.	July 11, 2000
6,088,717	Reed, et al.	July 11, 2000
6,101,500	Lau	August 8, 2000

OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
--	--

### A

Product Brochure entitled "BeyondMail Electronic Mail for Productive Workgroups," by Beyond Incorporated, consisting of cover page and 6 pages of information (undated).

IntraBlocks Brochure - e:Folders; No date; 2 pp.

Gold, E., "ETC: An AI Based Electronic Mailer," Research Notes, Computer Research Laboratory, Tektronix, Inc., P.O. Box 500, MS 50-662, Beaverton, OR 97077, Draft - June 28, 1985, pp. 1-15 plus 10 pages consisting of references, list of figures, and list of tables.

Greif, I. and Sarin, S., "Data Sharing in Group Work," Massachusetts Institute of Technology, Laboratory for Computer Science, Oct. 1986, pp. 1-10. (Note: This paper was to have appeared in proceedings of Conference on Computer-Supported Cooperative Work, Dec. 3-5, 1986, Austin, Texas).

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D., "Semistructured Messages are Surprisingly Useful for Computer-Supported Coordination," Research Contributions, ACM Transactions on Office Information Systems, Vol. 5, No. 2, Apr. 1987, pp. 115-131.

Malone, T.W.; Grant, K.R.; Turbak, F.A.; Brobst, S.A.; and Cohen, M.D., "Intelligent Information-Sharing Systems," Communications of the ACM, May 1987, Vol. 30, No. 5, pp. 390-402.



Rosenburg, J., Everhart, C.F., and Borenstein, N.S., "An Overview of the Andrew Message System," Jul. 1987, Copyright 1988 ACM 0-89791-245-4/88/0001/0099, pp. 99-108.

Lai, K.Y., Malone, T.W., and Yu, K.C., "Object Lens: A 'Spreadsheet' for Cooperative Work," ACM Transactions on Office Information Systems, 1988, pp.1-28 plus Figs. 1-11.

Dutta, S. "An Event Based Fuzzy Temporal Logic" Copyright 1988 IEEE pp. 74-71.

Arcidiacono, T. "Expert System On-Call", Copyright 1988, PC Tech Journal, Nov. 1988, pp. 112-135.

Kottemann, et al, "Process-Oriented Model Integration," Proc. 21<sup>st</sup> Annual Hawaii Intl Conf. on System Sciences, 5-8 Jan. 1988, 396-402.

Putz, S. "Babar: An Electronic Mail Database," Copyright 1988 Xerox Corporation, Palo Alto, California, Xerox Parc, SSL-88-1, Apr, 1988, pp. 1-17 with attached Babar User Guide, pp. 1-30.

Pollock, S., "A Rule-Based Message Filtering System," ACM Transactions on Office Information Systems, Vol. 6, No. 3, Jul. 1988, pp. 232,254.

Crowston, K. and Malone, T.W., "Intelligent Software Agents," Byte, Dec. 1988, pp. 267-271.

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D.A. "The Information Lens: An Intelligent System for Information Sharing and Coordination,: Technological Support for Work Group Collaboration, M.H. Olson (Ed.), Hillsdale, NJ: Lawrence Erlbaum Associates, 1989, pp. 65-88.

Overton, et al., "A Fuzzy Representation for Event Occurrence", SPIE Vol. 1198 Sensor Fusion II: Human and Machine Strategies, 1989, 472-479.

MacKay, W.E.; Malone, T.W.; Crowston, K.; Rao, R.; Rosenblitt, D.; and Card, S.K., "How do Experienced Information Lens Users Use Rules?" Copyright 1989 ACM (Association for Computing Machinery), CHI'89 Proceedings, May 1989, pp. 211-216.

Roberto, et al, "A Knowledge-Based System for Seismological Signal Understanding", 1989 Intl. Conf. on Acoustics, Speech and Signal Processing, 23-26 May 1989, M8.9.

MacKay, W.E.; Gardner, B.R.; Mintz, T.H.; PITO, R.A.; and Siegal, J.B., "Argus Design Specification," Copyright 1989 Massachusetts Institute of Technology, Draft: 17 Oct. 1989, pp. 1-50.

Press Releases, Newspaper and Magazine Articles, and Prepublication Research Notes relating to Beyond, Inc., and BeyondMail, dated between Oct. 17, 1989, and Sep. 24, 1991, individually listed and identified as items #1 through #33 on Cover Sheet Entitled 'Appendix A'.

Fischer International Systems Corporation, "EMC(^2)TAO Electronic Mail Communication Center", Copyright 1990.

D.A. Young, "The X Window System: Programming and Applications with Xt OSF/Motif® Edition", Prentice Hall (1990), pp. 1-13, 123-144.

Lee, J. and Malone, T.W., "Partially Shared Views: A Scheme for Communicating Among Groups that use Different Type Hierachies," ACM Transactions on Information Systems, Vol. 8, No. 1, Jan. 1990, pp. 1-26.

Perkins, W.A., "Adding Temporal Reasoning to Expert-System-Building Environments" Copyright 1990 IEEE Expert, Feb. 1990, pp. 23-30.

Marshak, D.S., "Filters: Separating the Wheat from the Chaff," Patricia Seybold's Office Computing Report, Vol. 13, No. 11, Nov. 1990, pp. 1-8.

Product Brochure entitled "BeyondMail Personal Productivity Tool," Beyond Incorporated, 2 pp.

Ayre, R., "Evolving E-Mail: Will Client/Server get the Message?", PC Magazine, Sep. 10, 1991, p. 322(2).

Fischer International System Corporation, "Workflow.2000 The Business Tool for EMC(^2)TAO", Copyright 1992.

Fischer International Systems Corporation, "Workflow.2000 The Business Tool for Office Vision", Copyright 1992.

Search Report, "Rule Base or Expert System", Dialog Information Services, Inc., Jan. 1992pp. 1-11.

Press Release Article of Workflow.2000 by Fischer International Systems Corporation, Jan. 1993.

Shark!Bytes, "Shark!Mail 2.0 Workflow as Nature Intended", Lanshark Systems Newsletter, Vol. 3, Issue 1, Copyright Apr., 1993.

## **B**

Jackson, William; "DOE Gives Systems Makeover", Government Computer News, Copyright 1998, Vol. 17, No. 5, 2 pp.

Bock, Geoffrey E.; "e:Folders 2.0 from IntraBlocks", Internet Tools and Technologies Service - e-Bulletin, Patricia Seybold Group, 1998; pp. 1, 3-6

IntraBlocks; <http://www.intrablocks.com/intrablocks/index.asp>; viewed on 8/23/99; 3 pp.

UPS Document Exchange; <http://www.ups.com/bussol/docex.html>; viewed on 8/23/99; 4 pp.

Services; <http://www.docspace.com/services/services.html>; viewed on 8/24/99; 5 pp.

WebNFS: The Filesystem for the World Wide Web; Copyright 1994-1999; 3 pp.

Shah, R., What WebNFS Means to You; [http://www.sunworld.com/swol-08-1996/f\\_swol-08-connectivity.html](http://www.sunworld.com/swol-08-1996/f_swol-08-connectivity.html); viewed on 5/29/00; pp.1-5

NIS and NIS+; <http://www.whatis.com/nis.htm>; viewed on 5/29/00; p. 1

RPC; <http://www.whatis.com/rpc.htm>; viewed on 5/29/00; p. 1

NFS; <http://www.whatis.com/nfs.htm>; viewed on 5/29/00; p. 1

WebNFS; <http://www.whatis.com/webnfs.htm>; viewed on 5/29/00; p. 1

Ganymede: Introduction; <http://www.arlut.utexas.edu/gash2/intro.html>; viewed on 5/29/00; p. 1

NFS; <http://webopedia.internet.com/TERM/N/NFS.html>; viewed on 5/29/2000 1:40 p.m.; p. 1

CIFS; <http://webopedia.internet.com/TERM/C/CIFS.html>; viewed on 5/29/2000 1:46 p.m.; p. 1

NSF Security; [http://www.sun.com/software/white-papers/wp-nfs/nfs\\_15.html](http://www.sun.com/software/white-papers/wp-nfs/nfs_15.html); viewed on 5/29/2000 6:59 p.m.; p. 1-5

UPS Document Exchange; <http://www.ups.at/using/services/domestic/docexchange.html>; viewed on 5/30/00; p. 1

Critical Path: How to Use Your Secure Teach Workspace;  
[http://www.docspace.com/howto/manager/manager\\_quicktips\\_creatingteam.html](http://www.docspace.com/howto/manager/manager_quicktips_creatingteam.html); viewed on 5/30/00; p. 1

Critical Path: Case Studies - Manager;  
[http://www.docspace.com/about/services\\_manager\\_casestud.html](http://www.docspace.com/about/services_manager_casestud.html); viewed on 5/30/00; p. 1

Critical Path: Features & Benefits; [http://www.docspace.com/about/services\\_features.html](http://www.docspace.com/about/services_features.html); viewed on 5/30/00; p. 1

Critical Path: Manager; [http://www.docspace.com/about/services\\_manager.html](http://www.docspace.com/about/services_manager.html); viewed on 5/30/00; p. 1

Critical Path: Drive; [http://www.docspace.com/about/services\\_drive.html](http://www.docspace.com/about/services_drive.html); viewed on 5/30/00; p. 1

Critical Path: Whats New with Critical Paths Secure File Services;  
[http://www.docspace.com/whats\\_new/april.html](http://www.docspace.com/whats_new/april.html); viewed on 5/30/00; p. 1-3

IntraBlocks - Integration Ware; <http://www.integrationware.com>; viewed on 5/30/00; p. 1

IntraBlocks - Compatibility; <http://www.integrationware.com/Intrablocks/ib-specifications.htm>; viewed on 5/30/00; p. 1-2

IntraBlocks - Architecture; <http://www.integrationware.com/Intrablocks/ib-architecture.htm>; viewed on 5/30/00; p. 1-2

IntraBlocks - Features; <http://www.integrationware.com/Intrablocks/ib-features.htm>; viewed on 5/30/00; p. 1-3

Configuring Access Control;  
[http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0408.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0408.htm); viewed on 8/14/00; pp.1-4

Access Control; [http://www.sun.com/sims/Docs\\_4.0/html/sunds/admin/c0104.htm](http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0104.htm); viewed on 8/14/00; pp. 1-4

Messaging; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212554,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212554,00.html); viewed on 9/6/00; p. 1

Message; [http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,212552,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212552,00.html); viewed on 9/6/00; p. 1

Messaging Server;  
[http://whatis.techtarget.com/WhatIs\\_Definition\\_Page/0,4152,214556,00.html](http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214556,00.html); viewed on 9/6/00; p. 1

File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,212120,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,212120,00.html); viewed on 9/28/00; p. 1

Network File System; [http://whatis.com/WhatIs\\_Definition\\_Page/0,4152,214121,00.html](http://whatis.com/WhatIs_Definition_Page/0,4152,214121,00.html); viewed on 9/28/00; p. 1

File; [http://www.whatis.com/WhatIs\\_Definition\\_Page/0,4152,212118,00.html](http://www.whatis.com/WhatIs_Definition_Page/0,4152,212118,00.html); viewed on September 29, 2000; p. 1

Search Report, "Metadata and Folder and Rule", Dialog Information Services, Inc., Oct. 2000, pp.1-99, 00-67. (Specific hits are listed on Exhibit B attached to search report.)

OLE-DB Simple Provider: A Data Binding API for IE4/MSHTML;  
<http://msdn.microsoft.com/workshop/database/databind/simpletabulardata.asp>; viewed on 10/20/00; pp. 1-6

emedicine: Instant Access to the Minds of Medicine - About Us;  
<http://www.emedicine.com/aboutus.shtml>; viewed on 1/4/01; p. 1

emedicine: Instant Access to the Minds of Medicine - World Medical Library;  
<http://www.emedicine.com/content2.shtml>; viewed on 1/4/01; p. 1-2

EXAMINER \_\_\_\_\_ DATE CONSIDERED \_\_\_\_\_ Page 13 of 13

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
CINLibrary/1013182.1